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PATENT TRADEMARK OFFICE

Attorney Docket 103.1009.09

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Kleiman

Serial No. 09/960,592

Filed: 9/21/2001

For: File Server Storage Arrangement

Art Unit: NYA

Examiner: NYA

RECEIVED

OCT 22 2001

Technology Center 2100

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail, in an envelope addressed to:

Assistant Commissioner for Patents  
Washington, D.C. 20231

on 10-15-01 by Arlette Malhas  
Date Arlette Malhas, Paralegal

**INFORMATION DISCLOSURE STATEMENT**

Honorable Assistant Commissioner  
for Patents  
Washington, D.C. 20231

Dear Sir:

This Information Disclosure Statement is submitted under:

37 CFR 1.97(b)

(Within three months of the national application filing or the entry of international application, OR before the mailing date of first Office Action, whichever occurs last.)

37 CFR 1.97(c) together with either a:

Statement under 37 CFR 1.97(e)

or  \$180.00 fee set forth in 37 CFR 1.17(p)

(After the CFR 1.97(b) time period, but before final Office Action or Notice of Allowance, whichever occurs first.)

37 CFR 1.97(d) together with a:

Statement under 37 CFR 1.97(e)

and  \$180.00 fee set forth in 37 CFR 1.17(p)

(After the CFR 1.97(c) time period, but before payment of the Issue fee.)

### List of Documents

Applicant(s) submits herewith:

- Form PTO SB/08A (Information Disclosure Statement by Applicant) listing patent document(s) of which applicant(s) believes might be material to the examination of this application and for which there might be a duty to disclose in accordance with 37 CFR 1.56.
- Form PTO SB/08B (Information Disclosure Statement by Applicant) listing non-patent document(s) of which applicant(s) believes might be material to the examination of this application and for which there might be a duty to disclose in accordance with 37 CFR 1.56.

### Copies of Documents

- Applicant(s) submits herewith copies of all listed documents.
- Copies of the listed documents are not included with this filing. Copies of these documents were previously submitted in the following related application:

Docket No.: \_\_\_\_\_  
Serial No.: \_\_\_\_\_  
Filed: \_\_\_\_\_

THE EXAMINER IS ENCOURAGED AND EXHORTED TO MAKE HIS OR HER OWN INDEPENDENT EVALUATION OF POSSIBLE RELEVANCE OF THE LISTED DOCUMENTS.

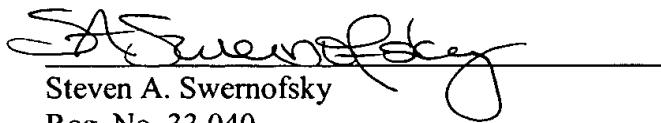
At the present time, Applicant(s) submits that the listed document(s), taken alone or in combination, neither anticipate nor render obvious the present invention. Consideration of the foregoing in relation to this application is respectfully requested.

In the event fees are required, authorization is hereby granted to charge these fees to Deposit Account No. 50-0365.

It is requested that the information disclosed herein be made of record in this application.

Respectfully submitted,

Date: 10-15-2001

  
\_\_\_\_\_  
Steven A. Swernofsky  
Reg. No. 33,040

Swernofsky Law Group  
P.O. Box 390013  
Mountain View, CA 94039-0013  
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Please type a plus sign (+) inside this box →

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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>		INVENTOR/TRADEMARK OFFICE Complete if Known	
		Application Number	09/960,592
		Filing Date	9/21/2001
		First Named Inventor	Kleiman OCT 22 2001
		Group Art Unit	
		Examiner Name	NYA Technology Center 2100
Sheet	1	of	1
		Attorney Docket Number	

## **U.S. PATENT DOCUMENTS**

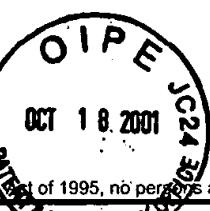
## **FOREIGN PATENT DOCUMENTS**

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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22883

Approved for use through 10/31/2002. OMB 0651-0031  
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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number

09/960,592

Filing Date

Sep 21, 2001

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First Named Inventor

Kleiman

OCT 22 2001

Group Art Unit

NYA

Technology Center 2100

Examiner Name

NYA

Total Number of Pages in This Submission

4+

Attorney Docket Number

103.1009.09

## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  <i>Form SB/08A Copies of References Return Postcard</i>
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
Remarks		

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Steven A. Swernofsky	Reg. no. 33,040
Signature		
Date	10-15-2001	

## CERTIFICATE OF MAILING

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Type or printed name	Arlette Malhas, Paralegal
Signature	
Date	10-15-01

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